ANNEX B

THE 201 SYSTEM

Rescission: Annex B of Chapter III, CSHB 70-1-1, 27 October 1966

1. INTRODUCTION

The 201 system provides a method for identifying a person of specific interest to the Operations Directorate and for controlling and filing all pertinent information about that person. The system also provides a means for identifying subjects of 201 files from various categories of information about them and for producing lisits of 201 personalities according to those categories. Only a relatively small number of personalities indexed are of sufficient interest to justify opening a 201 dossier. These are normally subjects of extensive reporting and CI investigation, prospective agents and sources, members of groups and organizations of continuing target interest, or subjects on whom a volume of correspondence has accumulated.

2. THE 201 SYSTEM

The principal features of the 201 system are:

a. *The 201 Number:* a unique number, i.e., 201-1234567, assigned to each individual in the system to serve as identifying file number for reporting on that individual.

b. *The 201 Dossier:* the official file containing the 201 opening form (Form 831) and all biographic reporting on and references to the individual, i.e., personal history, current status, and prospects.

c. *The Master 201 Record:* a machine record generated by the opening of a 201 file. This record produces the master 201 reference for the Main Index and stores the pertinent information which may later be retrieved for special listings.

d. *Main Index Master 201 Reference:* this reference, printed in reply to an Index Search Request, is printed as illustrated below. When data are absent within the record, succeeding data items or lines will be moved up and the reference consolidated.

4. CONTENTS OF THE DOSSIER

Information about a 201 personality should be filed or cross-referenced into his dossier. When additional information is discovered on a 201 subject through a name trace or other process, i.e., review of predecessor documents, it must be consolidated into his personality dossier. See DOI 70-20 for consolidation procedures.

Material which is filed in the dossier includes but is not limited to:

a. 201 Personality File Action Request (Form 831).

b. Biographic information including photographs, fingerprints, and handwriting samples.

c. Personal Record Questionnaire Parts I and II.

d. Operational and other security approvals.

e. Name check replies, requests, clearances, and approvals.

f. Acknowledgement of pseudonym.

g. 201 personality assessments and evaluations.

h. Copy of contract and termination papers.

i. Secrecy agreement.

j. Agent Duty Status Report.

k. Training and evaluation.

l. SGSWIRL report.

m. Newspaper clippings.

n. Any information which helps provide a better understanding of the subject and our interest in him; this may include operational reporting.

5. MAINTENANCE OF 201 DOSSIERS

The 201 personality dossier contains, in document date order, papers which have been made a part of the Central Records System as well as those which have not. Record documents may range from newspaper or magazine articles on the subject to finance and other administrative papers.

a. *Purging*

Purging a 201 dossier is the responsibility of the desk officer. It requires discrimination in recognizing operationally useful material, rather than the simple distinction between official and unofficial papers; it will therefore take place under the supervision of a Records Officer. Purging should be done periodically. A 201 dossier being forwarded to Central Files for retention should be purged. A 201 dossier should be purged of the following:

(1) Duplicate material, i.e., exact copy(s) of a document.

(2) Name trace form (Form 362) unless it has been the basis for the opening.

(3) All abstract slips.

(4) All document restriction notices (Form 1884).

(5) The disseminated version of positive intelligence information if a copy of the raw report is contained in the 201 file; the dissemination number then must be transferred to the first page of the raw report.

(6) Routing slips, routing and record sheets (Form 610) and dispatch cover sheets unless there are remarks such as coordinations or comments.

(7) Record copy documents which only repeat substantive information contained in other documents in the file; authorization for destruction is by the Records Officer.

(8) Top Secret documents are not to be retained in a 201 dossier forwarded to Central Files; the document must be downgraded for retention in the 201 dossier. To downgrade a Top Secret document, an authorized officer in the originating office or the Records Officer having jurisdiction over the contents of the material must possess Top Secret classification authority. If the document cannot be downgraded the file should be retained at the desk or the copy of the TS document should be removed, retained in a desk TS file or forwarded to the Top Secret Control Officer, and a cross-reference sheet (Form 867) placed in the 201 file giving the location of the TS document.

(9) Deferred documents (see 5b(2)).

b. *Maintenance Procedures*

(1) All material in a 201 dossier will be filed in document date order. In the case of document attachments which have been classified into a 201

dossier and separated from the basic document by the assignment of a slash number, the attachment will be filed by the date of the basic document.

(2) Deferred documents will not be filed in a 201 dossier. If they are to be retained in the dossier they should be sent to IP/RMS for classification into that 201.

(3) Field index cards (held by some desks) and area desk cards may be retained in the 201 as part of a consolidation procedure. These cards should be mounted on a full-size sheet of paper for filing in the 201.

(4) A 201 dossier previously opened on a person who becomes a staff employee and which contains Record Copy documents will be restricted to the ISG/DIP unless the desk retains the restriction. The dossier should be closed if there are no Record Copy documents in it.

(5) A 201 opened in pseudonym should be consolidated into the true name 201 if one exists or converted to the true name.

(6) Field and duplicate (shadow) 201 files no longer of active interest should be incorporated into the official 201 after the duplicate material has been purged by the desk officer and the remaining information classified to that 201 by the Analysis Section (IP/AN).

(7) Any document with a predecessor organization cover sheet or an OPC (Office of Policy Coordination) cover sheet from the Archives and Disposition Section (IP/ARD) must be returned to IP/ARD for processing to the 201.

(8) Desk memoranda (with or without a document source number) containing substantive or derogatory information on the subject of the 201 should be sent to IP/AN to be classified officially into the 201 file.

(9) An attachment which should be separated from its basic document for inclusion in a 201 personality dossier will be forwarded with the basic document to IP/AN for processing into the 201.

(10) To retain the P&L, RYBAT, or KAPOK sensitivity of a document remaining in a 201 dossier being retired to Central Files, place that document in an envelope sealed with black tape (see DOI 70-17). Any RYBAT, P&L, or KAPOK document sent to Central Files not in a black-taped envelope will automatically be handled as desensitized. A black-taped envelope may contain only one document and must be filed in chronological order within the file. If there are numerous documents of this type the desk officer may black-tape the entire dossier rather than individual documents (see DOI 70-10).

Black-taped dossiers or dossiers with black-taped documents will be handled as restricted dossiers.

(11) An inactive 201 dossier or an inactive volume of a large 201 dossier on permanent charge should be returned to Central Files under a Routing and Record Sheet with the notation shown below.

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ROUTING AND RECORD SHEET

SUBJECT: (Optional) TRANSMITTAL OF INACTIVE 201 DOSSIERS

FROM:			EXTENSION	NO. / DATE
TO: (Officer designation, room number, and building)	DATE RECEIVED	DATE FORWARDED	OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
1. IP/Files GC-52				(For guidance see CSHB 70-1-1, Chapter III, Annex B.)
2.				
3.				Volume(s) #____ of____ volume(s)
4.				of 201-____________.
5.				
6.				☐ Restricted Dossier (Attach Form 2021 to Dossier)
7.				
8.				☐ Non-Restricted Dossier
9.				
10.				For Split Charge Dossiers:
11.				All documents prior to ________ (date)
12.				forwarded to IP/Files. All
13.				documents after ________ (date)
14.				retained at ____________ desk.
15.				

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FORM 3-74 610E ☒ SECRET ☐ CONFIDENTIAL ☐ INTERNAL USE ONLY ☐ UNCLASSIFIED

6. 201 DOSSIER CHARGES

A 201 dossier may be kept on permanent charge at the desk during any period of active interest. If the dossier is transferred to another desk, the desk officer who is transferring the dossier must notify Central Files of the transfer. Central Files will then send the Notice of Transfer of Document or File Accountability (Form 2977) to the new action desk officer.

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NOTICE OF TRANSFER OF DOCUMENT OR FILE ACCOUNTABILITY

TO: NAME	BADGE	COMPONENT	ROOM	TUBE	EXT.

This is to notify you that accountability for the document(s) and/or file(s) cited below has been transferred to you by:

_______________ NAME _______________ BADGE _______________ COMPONENT _______________ EXT.

Accordingly, IP's records now reflect you as the custodian. Please contact IP/Files, Ext. 4362, if you have any questions regarding this transfer.

SUBJECT OF REQUEST	FILE NO.	DOC. SYMBOL & NUMBER	DOC. DATE	DATE OF TRANSFER	CHARGE PERM. OR TEMP	REQ. NO.

FORM 1-73 2977 USE PREVIOUS EDITIONS

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CL. BY: 007622

The new action desk officer must then fill out a 201 Personality File Action Request (Form 813) to change the action desk designation to insure that the 201 personality will be included in the Headquarters and field machine listings for his component.

7. RESTRICTED DOSSIERS

a. Access to a sensitive 201 dossier may be restricted by holding the file at the desk or placing it on restriction in Central Files.

(1) The dossier may be restricted by checking Box 2 on the 201 Personality File Action Request (Form 831) when the file is opened.

(2) The dossier may be restricted by holding it on permanent charge from Central Files. (Note: To maintain the restriction of a dossier being returned to Central Files for retention, a File Restriction Notice (Form 2021) must accompany the dossier.)

(3) The dossier may be restricted and held in Central Files by submitting a File Restriction Notice (Form 2021).

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TO	DATE	INITIALS	
IP/FI GC-52 TUBE DT-6			FILE RESTRICTION NOTICE
IP/DCU GC-40 TUBE ET-4			

ACTION DESK: 1. To restrict a file, complete Section A (signature of R.O. not necessary).
2. To remove a restriction, complete Section B (R.O. signature necessary).

FILE NUMBER

SECTION A

RESTRICT TO: (Use country or non-country code number. See CSI 70-28) ______
RESTRICTED BY: ______ (NAME)
COMPONENT: ______ Date: ______

SECTION B

REMOVE RESTRICTION (AUTHORIZED BY) ______ R.O. No. ______
COMPONENT: ______ Date: ______

FORM 2-73 2021 USE PREVIOUS EDITIONS CONFIDENTIAL E-2, IMPDET CL. BY: 007622 (13)

b. Access to a restricted dossier located in Central Files is limited to the personnel of the restricting desk or persons authorized by that desk. Any request for the charge of a restricted dossier or any document within a restricted dossier held in Central Files will be forwarded with the entire dossier and a multiple-routed cover sheet to the restricting desk. This desk may then forward the file to the requester or deny the request and return the dossier to Central Files. The desk will notify the requester of a denial.

c. Anyone requesting a restricted dossier, or a document within a restricted dossier, permanently or temporarily charged to a desk, will be referred to that desk by Central Files.

8. REQUESTS FOR INFORMATION ON 201 PERSONALITIES

The Automated Index Section (IP/AIS) will provide the identity of the subject of a 201 number unless the 201 file is restricted, in which case the requester will be referred to the restricting desk.

IP/AIS will also provide the 201 number assigned to a name, unless the 201 file is restricted, or state that there is no 201 number assigned. Requesters should supply identifying information whenever available for each name submitted.

Requests pertaining to five or fewer names or numbers may be made by telephone by calling the IP/AIS red line extension; IP/AIS will provide the information by return call to the requester's extension as listed in the Badge Table. Requests for more than five names or numbers must be listed and sent by tube or courier to IP/AIS; IP/AIS will reply by return mail.

9. 201 DOSSIER CANCELLATION

A 201 file may be authorized for cancellation by a Records Officer, after appropriate coordination. The file should be forwarded to IP/RMS which will destroy the folder and the cards leading to it and will remove the name and number from machine lists. Any Record Copy document contained in the folder will be reclassified to another appropriate file or sent to the Destruction Unit (IP/DU) as directed by the desk Records Officer.

10. 201 MACHINE LISTINGS

Machine listings provide field stations and Headquarters desks with names and 201 numbers in the requester's particular geographic or functional area of interest. If a component wishes to exclude a sensitive 201 personality from its alphabetic, numeric, and cryptonym listings, this may be done when opening the 201 or later by a 201 amendment. On the 201 Personality File Action Request (Form 831) leave the country of location (Box 15) and interest desk (Box 16) blank, use the non-country code 900 in the action box (Box 14), and indicate permanent charge to the responsible desk. The only listing which will include the 201 number is the IP/201 record for the Vital Records program. 201 listings are categorized as standard or nonstandard and as scheduled or special.

a. *Standard Listings*

Issued semi-annually to Headquarters and the field, based on a component's interest as indicated in the "Action Desk," "Country of Location," and "Interest

Desk" blocks on the 201 Personality File Action Request (Form 831). The standard listings available are:

(1) Alphabetical by surname, leading to a 201 number;

(2) Alphabetical by given name, leading to a 201 number;

(3) Alphabetical by cryptonym, leading to a 201 number;

(4) Numerical, leading to a surname;

(5) Numerical, leading to a cryptonym.

FOI A CHINA
201 SURNAME ALPHA LIST
03 OCT 1973

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NAME	TYPE NAME	DOB DA/MO/YR	BIRTHPLACE CTRY. CITY	OCC.	CIT.	201	OI-1	OI-2	ACT. CTRY	LOC. CTRY	INT. CTRY
CHEN, SHOU I. /7115/1343/50307/		17JUL14	CHIN,KWANGTUNG		CHIN?	0165401			CHIN	HK	
CHEN, SHOU I /7115/1343/0001/				DIPT		0230859			CHIN	CHIN	
CHEN, SHOU I. /7115/1343/0001/	A	24JAN11				0178655			CHIN		
CHEN, SHOU-JEN /6774/1108/0038		90	CHIN,AMOY	BUSP	CCOM?	0043751			CHIN	HK	
CHEN, SHOU-MEI		04JAN19	CHIN, FUKIEN, PROV.		CHIN?	0234629			CHIN	CUBA	
CHEN, SHOU-MING /7109/1343/690		21OCT08	CHIN, MANCHURIA, PORT ARTH		CNAT	0179620			CHIN	CHIN	
CHEN, SHOU SHIH /7115/1108/001	A	12NOV22	CHIN, HUNAN		CNAT	0069786			CHIN		
CHEN, SHOU-TAO		18MAR45	CHIN	DIPT	CCOM	0905390			CHIN	MALT	
CHEN, SHOU-TSENG /7115/1108/1		C41	CHIN, CANTON	ENGR	CNAT	0832855			CHIN	HK	
CHEN, SHOU TZE /0701/1343/1807		02SEP26	CHIN, LIAONING PRO		CHIN?	0130415			CHIN	TAIW	
CHEN, SHOU-WEI /7115/1108/435		12JAN18	CHIN, FUKIEN		CCOM?	0091803			CHIN		
CHEN, SHOU-YI		09JUN99	CHIN, CANTON	PROF	CHIN?	0040288			CHIN	USA	
CHEN, SHU-BAO	A	19DEC19	CHIN, KWANGTUNG PROV		CNAT?	0052638			CHIN	HWAI	
CHEN, SHU-CHIN /7115/2885/6930		02JUL30	CHIN, KWANGTUNG PROV.	ARMY	CNAT	0328328			CHIN	TAIW	
CHEN, SHU CHUAN /7115/3219/122		19	CHIN,KUAN TANG IS		CHIN?	0124438			CHIN	HK	
CHEN, SHU-CHUAN /7115/2885/2		NOV30	HK	TSEA	CNAT	0797335			CHIN	HK	
CHEN, SHU CHUN /7115/2885/2797	A	CIRC22	CHIN,PEILIU		CHIN?	0200223			CHIN		
CHEN, SHU FEN	R					0988577			CHIN	ETHI	
CHEN, SHU HAO /7115/2885/3105/		08JUL14	CHIN,KWANGTUNG		CHIN?	0179621			CHIN	CHIN	
CHEN, SHU HSIANG /7115/2579/74		10	CHIN,FUKIEN		CHIN?	0044759			CHIN		
CHEN, SHU-HSIUNG /7115/2885/7		23FEB07	CHIN, KWANGTUNG		CCOM?	0073195			CHIN		
CHEN, SHU HSUN /7115/2883/8133		05MAY18	CHIN,FOOCHOW		CHIN?	0179622			CHIN	CHIN	
CHEN, SHU-HUA		30MAR26		DIPT	CCOM	0223161			CHIN	CEY	
CHEN, SHU-I /7115/2885/5030/	A	06FEB16	CHIN, HOPEI	DIPT	CNAT	0839156			CHIN	USA	
CHEN, SHU KUEI /7115/2885/2710		27NOV23	CHIN,FANG CHENG	PROF	CHIN?	0179623			CHIN	CHIN	
CHEN, SHU LAN	R		CHIN		CCOM	0221972			CHIN	CHIN	
CHEN, SHU LIANG /7115/0547/009		CIRC21	CHIN	DIPT	CHIN?	0223162			CHIN	CHIN	
CHEN, SHU LIN /7115/2579/2651/		25NOV20	CHIN,FENGSHUN		CHIN?	0179624			CHIN	TAIW	
CHEN, SHU-LING /7109/2373/010		01JUL29	CHIN, KIANGSU	MICA	CCOM	0858550			CHIN	LAOS	
CHEN, SHU-MIN	A	20SEP20	CHIN, HSIAO-HSIEN, KIANGSU		CNAT	0096947			CHIN	USA	
CHEN, SHU NAN /7115/2885/0589/		15APR30	CHIN,CHENGHAI	CMMO	CHIN?	0179625			CHIN	CHIN	
CHEN, SHU-PAO /7115/2579/0202/		19DEC19	CHIN, KWANGTUNG PROV.		CNAT?	0052638			CHIN	HWAI	
CHEN, SHU-SEN /7115/2885/2773/	A	10DEC26	CHIN,KWANGTUNG		CHIN?	0085119			CHIN	TAIW	
CHEN, SHU-SHAN /7115/2579/091		27JAN25	CHIN, FUKIEN PROV		CHIN?	0103249			CHIN	CHIN	
CHEN, SHU-TE /7115/2885/1795/		21DEC37	CHIN, SHANGHAI	GEOL	CHIN?	0763816			CHIN	BURM	
CHEN, SHU TEH /8757	V	27MAR20	CHIN, CHANG SHU			0013991			CHIN		
CHEN, SHU TUNG /7115/0547/6639		CIRC25	CHIN,HANG CHOW		CHIN?	0153929			CHIN	CHIN	
CHEN, SHU TZU /7115/2885/2737/		18MAR17	CHIN	FIN	CCOM	0767442			CHIN	UK	
CHEN, SHU TZU /7115/0647/0037/	A	02FEB06				0191329			CHIN		
CHEN, SHU-YAO /7115/2885/1031		11NOV06	CHIN,KWANGTUNG		CCOM?	0093176			CHIN		
CHEN, SHU-YIN	V	05APR17	CHIN,PEIPING		CHIN?	0107306			CHIN	CHIN	HK
CHEN, SHU YIN /7115/2885/5391/		15JUN06	CHIN,FANG CHEN KH		CHIN?	0179626			CHIN	CHIN	
CHEN, SHU-YIN /7115/2579/6892/		07OCT30	CHIN, HENG YANG HSIEN,HUN	ARMY	CNAT	0310624			CHIN	TAIW	
CHEN, SHU-YU		17FEB33	CHIN, CHEKIANG	[illegible]	CCOM	0313810			CHIN	[illegible]	
CHEN, SHU-YU		21APR21	CHIN, SHANGHAI		CHIN?	0154010			CHIN		
CHEN, SHU YU /7115/2579/3962/	V	04SEP28	CHIN, SZECHWAN		CHIN?	0154758			CHIN	TAIW	

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All standard listings are cumulative; previous editions *must be* destroyed upon receipt of current editions. These listings are by their very nature extremely sensitive compilations of information and must be given every possible safeguard.

b. *Non-Standard Listings*

Based on one or more of the following selection criteria:

(1) Country of location

(2) OI codes (organization and/or intelligence affiliation)

(3) Citizenship

(4) Year of birth (plus or minus a given number of years)

(5) Occupation.

These selection criteria may be used singly or in combinations. For example, a user could obtain a list of all 201 personalities who have been assigned the OI code of XX or codes of XX, XY, or XZ. A 201 personality list could also be produced of all persons who were born in Germany between the years 1915 and 1920, with the occupation computer specialist, who are now citizens of the United States, located in Mexico, and who had been assigned the OI code AA. Note however that the listing would contain only those personalities with an OI code AA. Those personalities with an OI code other than AA and those with no OI code would be excluded. The requester could however ask that persons who have not been assigned an OI code also be included. Note also that when retrieving lists based on occupation, the listing will be only as specific as the occupation code (Attachment 1). The occupation code for a courier covers only a documented courier. Some occupation codes cover more than one occupation. For example, the occupation code CRAF covers those who practice some trade or manual occupation, i.e., carpenters, bricklayers, painters, mechanics and electricians. If a list is requested for electricians, all others in this category will be included in the printout. These non-standard listings may be sorted (arranged) according to any, but not more than three, of the following keywords:

(a) Surname

(b) Given name

(c) Date of birth

(d) Country of birth

(e) Citizenship

(f) OI code

(g) Location

Sorts can be made within sorts. For example, 201 personalities may be sorted alphabetically by surname within OI codes for given countries of location. Because two OI codes may be listed for each personality, those names with two OI codes would be listed twice.

c. *Scheduled Listings*

Standard and non-standard listings printed semiannually.

d. *Special Listings*

Unscheduled, usually non-standard, listings produced on a one time basis in response to special operational requirements.

e. *Request for Listings*

All requests for standard or non-standard alphabetical and numerical 201 listings for Headquarters and the field, for changes in periodic listings, and for information on the 201 machine list system should be made to the component Records Management Officer.

DOHB 70-1-1
CHAPTER III, ANNEX B
Attachment 2

15 November 1974

AUTOMATIC 201 DOSSIER OPENINGS

Note: 201 files will be opened automatically by IP/AN on the following categories of people.

1. *Arab Republic of Egypt (ARE)*
   a. Diplomats with rank of third secretary or above.
   b. Military attaches and assistant military attaches.
   c. Intelligence officers of the General Intelligence Department (GID).

   (Prior to opening of an ARE 201 file, check with NE/E for correct spelling of name and additional biographic data.)

2. *British Commonwealth*
   a. All positively identified members of MI-5 and MI-6, the British Intelligence Services.
   b. All positively identified members of the Irish Military Intelligence Service (IMIS).
   c. Canadian Communist Party officials on national or provincial levels and officials of the Canadian Communist Party front organizations. Do not open unless there is at least a date of birth given.
   d. All members of the Security Service of the Royal Canadian Mounted Police (RCMP-SS).

3. *Cuba*

   Intelligence service employees (DSE, DGI).

4. *Israel*
   a. All Israeli diplomats. C/NE/ISR should be indicated as the originating office with CI/SP always indicated as the secondary office of interest.
   b. Military attaches.
   c. Assistant military attaches.
   d. Identified intelligence officers.

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CHAPTER III, ANNEX B
Attachment 2

15 November 1974

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5. *North Vietnam*

All diplomats and NFLSV (PRG) officials stationed abroad.

6. *USSR*

a. All Soviets assigned PCS to an official representational installation, i.e., embassy, consulate, commercial representation, national airline (Aeroflot) office, news media office.

b. All Soviets assigned PCS to the United Nations in New York, Paris, Geneva, and Vienna.

c. Audio technicians, after coordination with SE desk concerned.

d. Students who will be studying abroad for a full academic year at institutions of higher learning.

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CSHB ~~43-1-1~~ 70-1-1
CHAPTER III

CLANDESTINE SERVICES
HANDBOOK NO. ~~43-1-1~~

15 February 1960

ANNEX B

PERSONALITIES - 201 AND IDN NUMBERS

1. A relatively small proportion of the total number of personalities indexed by the CS are of active operational interest at any given point in time. These are normally subjects of extensive reporting and CI investigation, prospective agents and sources, and members of groups and organizations of continuing target interest. Each of these personalities is assigned either a 201 number or an IDN number.

2. The 201 number serves a dual purpose. It brings the files on these personalities into the CS records system. A single number, e.g., 201-123456, is assigned to each person, and a dossier controlled by this number is established which contains, or has cross referenced to it, all of the reporting on the individual's personal history, current status and prospects. Once the 201 number is assigned, it is used in future reporting on the individual both as a file number and in place of other identifying data. Up-to-date machine listings are published periodically to help field stations and headquarters desks keep book on those 201 personalities falling in their particular geographic or functional area of interest.

3. It has become apparent that the 201 machine listings should include the identities of persons of operational interest because of their connection with a target group or organization even though there may not be sufficient information or specific interest to warrant opening a file. For example: A considerable number of stations are concerned with the activities of Cuban exiles. Coverage of their movements, factions and objectives can be assisted by furnishing all participating stations up-to-date listings containing information under the control

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of the Cuban desk on the <u>dramatis personae</u>. In addition to 201 personalities, such lists should contain the names and identifying data of persons who should be kept track of, although they may only be of tangential interest or on whom there may be little or no data other than that given in the listing itself.

4. To accommodate this type of requirement in the 201 system, identifiable personalities concerning whom enough information is not yet available to require the opening of a file may be assigned numbers of the following type but <u>in the same series</u>:

IDN-123457

These are relabeled "201" if a file is opened. IDN numbers are carried with 201 numbers in appropriate general or special listings, where they are identified by the letter "I" in the "Type of Name" column. IDN numbers are not CS file numbers.

5. All 201 code numbers are assigned by RID at headquarters, either upon receipt of Form 831, or of a field dispatch. If a dispatch is written about a personality not yet in the system, a 201 number for it may be requested simply by writing under headquarters file number in the dispatch form as follows:

Dispatch Symbol and No. XYZA-12345
Headquarters File No. 201-

6. IDN numbers are assigned by RID at headquarters upon the request of stations or desks which are developing special identification programs within the 201 system. The field receives current notification of new 201 openings and IDN numbers through the Field Index Card Service.

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7. Stations or branches often are concerned with personalities not of general CS concern. Files on these may be kept in any desired order. Should such personalities become of general CS interest, they must be brought into the 201 system.

```
0002 CROIX, WILLIAM PENDLETON          (4)                      201-0032671* (8)
(1) SEX M DOB 12 APR 26                 POB GERM, BERLIN (5)    TYPE NAME T (9)
(2) CIT GERM                            OCC PHARMACIST          OI CODES AA XX (10)
(3) REF AACD-12345, 20 JUN 53           OCC CODE CHEM (6)       RCD DATE 53 (11)
(7) SUBJECT RECENTLY ATTENDED THE SEVENTEENTH ANNUAL
    CONFERENCE OF THE INTERNATIONAL ASSOCIATION OF CHEMISTS
    AND PHARMACISTS HELD IN MUNICH, GERMANY FROM 22 THROUGH
(12) 29 OCTOBER.

                 30 NOV 70              00833555
                 (13)                   (14)
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Information About Subject

1. Sequence Number and Name
2. Sex and Date of Birth
3. Citizenship
4. Place of Birth
5. Occupation
6. Occupation Code
7. Text

Document Reference Data Group

8. 201 Number
9. Name Type Indicator
10. OI Codes
11. Record Date (year only)
12. Reference

ISC Control Information

13. Date of latest update of the record
14. STAR Index Record Number

e. *OI Code:* a two letter symbol used in conjunction with the 201 personality records in the 201 system to record the association of an individual with organizations or activities of operational interest. OI codes cover intelligence and security service affiliation, whether staff or agent, or known or suspect, as well as activities of DDO interest. There are two categories of OI codes for use by components:

(1) general OI codes (Attachment 4)

(2) OI codes assigned to a specific component for intelligence services or other specific organizations.

A component may request an OI code be established by submitting a memorandum to the DDO/RMO through the component Records Management Officer.

A 201 personality may be assigned two OI codes. An OI code may be assigned when the 201 Personality File Action Request (Form 831) is initiated (see paragraph 3b below) by filling in Box 13 or a code may be assigned or added at a later date by a Form 831 amendment.

The 201 system has the capability of producing machine listings of 201 personalities by OI codes. For example, if an OI code has been opened for the security service of a certain country a listing may be compiled of all members of that service.

f. *201 Machine Lists:* produced from the mechanized 201 Index, based on names or other identifying information of personalities on whom 201 dossiers exist.

3. OPENING A 201 DOSSIER

a. *General*

The opening of a 201 dossier is the prerogative of an operational component, in coordination with the Information Services Group. An opening creates a master 201 record. Changes to the master record and the occasional closing of a 201 dossier are controlled jointly by the desks and ISG. 201 dossiers may be opened on persons who meet the carding criteria described in Chapter II of this handbook, when there is a reasonable expectation that additional information will be acquired and filed in such a dossier. Generally dossiers are opened on persons about whom counterintelligence information is being reported, and persons of operational interest to the Operations Directorate, specifically those persons for whom provisional operational approvals and operational approvals are requested (see exception below). 201 files are not to be opened on staff employees, staff agents and most categories of contract employees. Files on

persons who are only of local interest to a field station or Headquarters desk and on whom no DDO records correspondence exists are not a part of the DDO records system and are to be maintained by that unit. Some desks levy requirements on ISG for automatic 201 openings on certain categories of persons whose names appear in incoming dispatches. These are listed in Attachment 2. 201 dossiers should be opened in the following categories:

(1) Subjects of provisional operational approval and operational approval requests. However, a file need not be opened when a POA is requested for persons being trained for a foreign liaison service and who are of operational interest for training purposes only.

(2) Persons for whom the field requests a 201 opening.

(3) MHFIXTURE personalities: bonafide diplomats of other than denied area countries, in close association with staff personnel.

(4) Subjects of a Personal Record Questionnaire Part I.

(5) Persons on whom a Main Index search reveals information in five or more documents (see DOI 70-20).

(6) Subjects of Interagency Source Register memoranda from LSN/ISR (opened only by IP/RMS).

b. *Requesting a 201 File Opening*

Headquarters desks may open a 201 file by filling out and submitting a 201 Personality File Action Request (Form 831) to the Records Maintenance Section (IP/RMS). Form 831 is also used to create or amend the master 201 record and 201 machine listings and to register the assignment of a cryptonym to a 201 personality. Attachment 3 consists of sample 201 Personality File Action Requests for opening and amending 201's. A field station may request the opening of a 201 file by writing 201- in the Headquarters file or cross-reference box on the dispatch form and/or after the subject's name in the body of the dispatch. A telepouch request for a 201 opening is made by indicating 201- in the file number line. A cable request is made by placing 201- after the term File on the last line of the transmission. IP/AN will open 201 files as requested by dispatch or telepouch but it is the responsibility of the desk to respond to cable requests. Field stations are notified of 201 openings through receipt of the field-master 201 record.